



Operations Order Form

Caution Statement :

ie. ARMED & DANGEROUS, ESCAPE RISK, etc.

☒ **ARMED & DANGEROUS** ☐ **ESCAPE RISK**

1. Case Title :

BENJAMIN WEY; DBA NEW YORK GLOBAL GROUP

2. Case File Number :

318C-NY-306442

3. Squad :

C-43

4. Date Prepared :

1/23/2012

5. Case Agent :

MATTHEW F. KOMAR

6. Brief Synopsis of Case :

There is probable cause to believe that BENJAMIN WEY, Chief Executive Officer of NEW YORK GLOBAL GROUP, acting through NEW YORK GLOBAL GROUP and other entities, has committed securities fraud and manipulated the market for the securities of various small-capitalization issuers. WEY introduces Chinese companies to the U.S. markets and arranges reverse mergers and assists these companies get listed on markets such as NASDAQ. It appears he has artificially inflated the number of round-lot shareholders for the purpose of meeting listing requirements. WEY then retains undisclosed beneficial ownership and/or control of large blocks of shares of the Chinese companies that are held in the name of nominees. WEY creates an artificial demand for the securities by working directly with a hand-picked team of retail stock brokers, currently Cambridge Alliance Capital located at 99 Wall Street, to aggressively solicit purchases of the Chinese companies' securities. Once the artificial demand is created and the stock price goes up, Wey sells the large block of nominee held shares.

7. Scheduled Date and Time of Ops :

Wednesday, January 25, 2012 8:00 AM

8. Type of Ops :

Search

To change time, highlight the time and type in correct time. (ie. 3:00pm)

9. Participating Agencies / Specialized Units : (ie. SWAT, SCUBA, ERT, DEA, ICE, NYPD, etc.)

FBI, CART, PHOTO UNIT

10. Concept of the Operation :

(REQUIRED - succinct explanation as to how plan will be executed and, if site has been designated Subject's "Primary Residence," provide explanation as to how that was established, i.e. CON-ED & VERIZON lists SUBJ#1 as subscriber, FISUR on [DATE/TIME] had SUBJ#1 enter location, etc.)

On Monday, January 23, 2012, a search warrant was issued by the SDNY for the offices of NEW YORK GLOBAL GROUP, 40 Wall Street, Suite 3800, New York, New York. The Office includes a reception area, conference room(s) and approximately 6-7 individual office spaces. The scope of the search will be for all areas with the exception of the office of JAMES BAXTER, General Counsel. The location was confirmed as recently as January 4, 2012.

On Tuesday, January 24, 2012, a pre-operation briefing will be held in the C-43 squad area.

On Wednesday, January 25, 2012, at approximately 7:30 AM, Agents from the FBI New York Squad C43 will stage in the vicinity of 40 Wall Street, New York, New York. At approximately 8:00 AM, Agents will enter the Pine Street Entrance to 40 Wall Street and proceed to the 38th floor. After entering the office, the team will clear and secure the location by gathering all employees into a conference room. After securing the location, the team will execute a search warrant on the office.

The names, addresses, date of birth and phone numbers of all employees present will be obtained.

Photos will be taken before and after the execution of the search. Items seized will be transported back to 26 Federal Plaza.

11. Administrative :

(All emergencies are to be reported to the on scene, ASAC and duty agent, OPC (212)384-3910)

Handcuffs, Weapons, Radio, Flashlight, Badge, Raid Jacket, Ballistic Vest

Weapons and Ammunition: All personnel shall carry a fully loaded Bureau issued weapon. All weapons and extra magazines shall be loaded with service ammunition.

Clothing and Equipment: All personnel shall be dressed in business casual attire with FBI raid jacket on. Personnel should carry badge, handcuffs, FBI radio, blackberry, and flashlight.

12. Tactical Briefing Information :

	a. Briefing	b. Date	c. Time	d. Location
1	Pre- Op Briefing	1/24/2012	4:00:00 PM	C43 Squad Area
2	Final Briefing	1/25/2012	7:30:00 AM	Outside Pine Street Entrance to 40 Wall Street

To add more information click on the blue down arrow.

13. On Scene Commander :

A/SSA Mario Pisano C-917-662-9005

14. Prosecutor :

	a. Name of AUSA or ADA	b. District/Office	c. Contact #'s
1	AUSA David Massey	SDNY	Cell 917-797-1247; Office 212-637...

To add more information click on the blue down arrow.

Attach Section 2 documents.

	Attached File :	Subject Name :
1	 <p>Search40wallStForm2.xml XML Document 219 KB</p>	<p>Swat <input type="radio"/> Yes <input checked="" type="radio"/> No</p>

Attach Additional Documents :
(ie. Medical Annex)

1	 File Attachment	
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Operations Order Form Section 2

Image :



Subject Information :

Name : BENJAMIN WEY

Alias : BENJAMIN WEI; TIABING WEI

Nationality : U.S.

Date of Birth : 9/30/1971

Age : 41

Sex : ☒ male

☐ female

Height/Weight : / lbs

Eyes/Hair : Black / Black

Criminal Record : ☐ yes ☒ no

Criminal Record
Summary :

Reason for Caution Statement :

(i.e. "CHS observed SUBJ#1 carrying a 9mm handgun", etc)

Site Survey :

(Particularly describe the targeted location to include: i.e. Building marked with "1001" over main entrance; apt. door is red and clearly marked in black with "A-4"; whether Subject's associates reside at the location; whether dogs, elderly persons and or children are present at the site; possible escape routes; fire escapes; roof access; stairs vs. elevator; etc)

Search location is offices of NEW YORK GLOBAL GROUP (NYGG), 40 Wall Street, Suite 3800, New York, New York. On the 38th Floor there are two office suites. Off the elevator is a clear glass door/wall with a sign The NEW YORK GLOBAL GROUP that sits behind a receptionist desk. Behind the reception area, through a translucent door, is a suite of several individual offices. The offices of WEY and other NYGG employees is arranged in an "L," with WEY's office located at the fulcrum of the "L." On one side of WEY's office is the office of JAMES BAXTER, General Counsel, this office will not be searched. All the other individual offices will be searched. Each individual office contains at least one computer terminal/desktop.

NYGG had a server installed in the summer of 2011, the server will need to be located.

Location (Site) of the Operation :

(Complete the site survey page for each location identified below :)

	a. Borough	b. County	c. Building/House	d. Street Name	e. Apt #	f. City	g. State	h. Safe-t-net: (POS. or NEG.)
1	Manhattan	New York	40	Wall Street	3800	New Y...	NY	

To add more information click on the blue down arrow.

Vehicle Description :

	a. Driven By :	a. Year :	b. Color :	c. Make :	d. Model :	e. License Plate(s) :	f. Other Identifying features (ie. Tints, damage, etc.)
1							

To add more information click on the blue down arrow.

Type of Operation :

Search

Description of Operation :

The search will be for documents related to Wey assisting Chinese reverse mergers falsify their records to meet the listing standards for NASDAQ. Wey may have additionally controlled the trading volume in these Chinese companies, through a number of associated broker dealers. C43 will additionally serve subpoenas to associates of Wey located in at vicinity. NY CART and Photo Unit will be on scene to assist with the search.

Personnel Team Assignments :

(*Required assignments: Notifications; Emergency Transport(with transport vehicle description); Entry Team designation - "ET #1," etc.)

	a. Name	b. Assignment	c. Agency	d. Call Sign	e. Contact #
1	SA Matthew F. Komar	Team Leader/Case Agent	FBI		646-457-0678
2	SA Thomas McDonald	Search Team	FBI		646-438-2252
3	SA Jonathan Walters	Search Team	FBI		347-752-2839

4	A/SSA Mario Pisano	Search Team	FBI		917-662-9005
5	SA Keith Garwood	Search Team	FBI		347-752-2138
6	SA Thomas McGuire	Search Team	FBI		646-306-0223
7	SA Jared Thompson	Search Team	FBI		646-438-2052
8	SA Paul Roberts	Search Team/"Taint Agent"	FBI		646-942-3056
9	SA Jonathan Polonitza	Search Team	FBI		917-280-5919
10	SA Matthew Taylor	Search Team	FBI		646-457-0083
11	SA Brian O'hara	Subpoena Team/Search Team	FBI		646-210-9492
12	SA Bobby Lauria	Subpoena Team/Search Team	FBI		646-438-1963
13	SOS Jared Polites	Search Team	FBI		917-675-1639
14	Photo Unit				
15	CART				

To add more information click on the blue down arrow.

Communications :

	a. Primary CH	b. AltCHs	c. NYPD TAC	d. SO CHs :	e. Transmitter or KEL :
1	B3	B4			

To add more information click on the blue down arrow.

CS :

Confidential Source/UCE Descriptive Information :

Nationality	Race	Sex	Height	Weight	Hair
		<input type="radio"/> Male <input type="radio"/> Female			
Eyes :	Wired	CM Authorized (?) :	Clothing		
	<input type="radio"/> yes <input type="radio"/> no	<input type="radio"/> yes <input type="radio"/> no			

Distress Signal

Verbal :

Visual :

Hospital Trauma Information :

1 MANHATTAN - BELLEVUE HOSPITAL CENTER EAST 27TH STREET AND 1ST AVENUE

To add more information click on the blue down arrow.

Police Precinct Information :

1 NEW YORK - 1ST PRECINCT NEW YORK 16 ERICSSON PLACE NEW YORK, NY 2123340611

To add more information click on the blue down arrow.

Notifications :

RA Notification :

Select...

USMS Notification : Select...

Additional Information :

SEARCH TEAM will enter 40 Wall Street from the Pine street entrance at approximately 8:00 AM and proceed to the 38th floor. Upon entering office area the SEARCH TEAM will gather all employees into a conference room and review their identification and obtain their names, addresses, phone numbers, and date of births. Once office area is secure the Photo Unit will take photos of the office, and SA Jonathan Polonitza will start a sketch of the office area. Search will then commence.

SA O'hara and Lauria will serve subpoenas to associates at locations in the vicinity and join search team thereafter.

Additional Maps :

FBI DEADLY FORCE POLICY

Law enforcement officers of the Department of Justice may use deadly force only when necessary, that is, when the officer has a reasonable belief that the subject of such force poses an imminent danger of death or serious physical injury to the officer or to another person.

- A. Deadly force may not be used solely to prevent the escape of a fleeing suspect.
- B. Firearms may not be fired solely to disable moving vehicles.
- C. If feasible, and if to do so would not increase the danger to the officer or others, a verbal warning to submit to the authority of the officer shall be given prior to the use of deadly force.
- D. Warning shots are not permitted.
- E. Officers will be trained in alternative methods and tactics for handling resisting subjects, which must be used when the use of deadly force is not authorized by this policy.

This policy is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, against the United States, its departments, agencies, or other entities, its officers or employees, or any other person.